



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/707,143	11/24/2003	Damian Arregui	D/A2187	1142
25453 7590 09/07/2007 PATENT DOCUMENTATION CENTER XEROX CORPORATION 100 CLINTON AVE., SOUTH, XEROX SQUARE, 20TH FLOOR ROCHESTER, NY 14644			EXAMINER LIU, LIN	
			ART UNIT 2145	PAPER NUMBER
			MAIL DATE 09/07/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/707,143	<b>Applicant(s)</b> ARREGUI ET AL.	
	<b>Examiner</b> Lin Liu	<b>Art Unit</b> 2145	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 24 November 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 24 November 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>04/29/2004</u> . | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. This office action is responsive to communications filed on 11/24/2003.

Claims 1-20 are pending and have been examined.

2. The information disclosure statement (I.D.S) filed on 04/29/2004 is considered.

### ***Specification***

3. The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed.

### ***Claim Rejections - 35 USC § 112***

4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

5. Claims 1-3, 9-12 and 18-20 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

6. The term "subjects" in claims 1, 10 and 19 is a relative term, which renders the claims indefinite. The term "subjects" is unclear and vague as what applicant refers it as.

7. The term "notification targets" in claims 2, 11, and 20 is a relative term, which renders the claims indefinite. The term "notification targets" is unclear and vague as what applicant refers it as.

8. The term "a physical process" in claims 3 and 12 is a relative term, which renders the claims indefinite. The term "a physical process" is unclear and vague as what applicant refers it as.

9. The term "operating behaviors" in claims 9 and 18 is a relative term, which renders the claims indefinite. The term "operating behaviors" is unclear and vague as what applicant refers it as.

***Claim Rejections - 35 USC § 101***

10. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

11. **Claims 1-20** are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

12. With regard to **claim 1**, the instant claim is directed towards a document management system formed with a document notification and delivery service and a plurality of workflow modules, all of these components could be implemented in software alone. Claim directed towards software alone is per se nonstatutory. Claims 2-9 are rejected under the same rationale as of claim 1.

13. With regard to **claim 10**, the instant claim is directed towards a method for operating a document management system with means for functions, wherein means for storing and means for detecting can all be implemented by software alone. Claim directed towards software alone is per se nonstatutory. Claims 11-18 are rejected under the same rationale as of claim 10.

14. With regard to **claim 19**, the instant claim is directed towards an article of manufacture comprising computer usable media including computer readable instructions embedded therein, wherein the computer usable media is defined as any transmitting device in the specification (see specification, pages 31-32 paragraph 65-67), and the transmitting device includes Internet, radio wave communication and satellite communication. Wherein the Internet, radio wave communication and satellite communication are signal, which renders the claim as software being performed via signal. Claim directed towards software alone is per se nonstatutory. Claim 20 is rejected under the same rationale as of claim 19.

***Claim Rejections - 35 USC § 102***

15. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

16. Claims **1-20** are rejected under 35 U.S.C 102 (b) as being anticipated by **Arregui et al. (EP 1111518 A1)**.

With respect to **claim 1**, Arregui teaches a document management system, comprising:

one or more document repositories for storing documents (Arregui, fig. 1 and page 3, paragraph 17, noted the document repositories 12);

a document notification and delivery service (DNDS) for detecting documents pertaining to subjects that are stored in the document repositories (Arregui, fig. 1, page 2 paragraph 6 and page 3, paragraph 17, noted the system 10); and

a plurality of workflow modules subscribing to the DNDS to receive documents identified that pertain to one or more subscribed subjects (Arregui, fig. 1 and page 4, paragraphs 21 and 23, noted the printer 54, document repository 55 and request 57 from users subscribe to system 10); at least two workflow modules producing one or more documents that are published to one or more of the document repositories (Arregui, fig. 1 and page 4, paragraph 21);

wherein a first workflow module publishes to one of the document repositories a first document which is detected by the DNDS and which pertains to at least one subscribed subject of a second workflow module (Arregui, fig. 1 and page 4, paragraphs 21-22); and wherein subsequent to the publication of the first document by the DNDS to the one of the document repositories, the DNDS delivers the first document to the second workflow module that operates independent from the first workflow module to produce a second document (Arregui, fig. 1 and page 4, paragraph 23).

With respect to **claim 2**, Arregui teaches the document management system according to claim 1, further comprising notification targets for subscribing to subjects at the DNDS to receive alerts when documents are identified that pertain to one or more subscribed subjects (Arregui, page 1, paragraph 6 and page 3, paragraph 17).

With respect to **claim 3**, Arregui teaches the document management system according to claim 1, wherein one of the plurality of workflow modules is one of a web

service (Arregui, page 3, paragraph 13) and a physical process (Arregui, fig. 1 and 2, users 50).

With respect to **claim 4**, Arregui teaches the document management system according to claim 1, wherein the DNDS processes the first document before delivering it to the second workflow module (Arregui, page 3, paragraph 17, noted that document transformation is provided to transform documents to a desired format.).

With respect to **claim 5**, Arregui teaches the document management system according to claim 4, wherein the DNDS processes the first document by performing one of summarization, enrichment, and translation (Arregui, page 3, paragraph 17, noted that document transformation is provided to transform documents to a desired format.).

With respect to **claim 6**, Arregui teaches the document management system according to claim 1, wherein the DNDS further comprises means for:

(a) monitoring events and attributes concerning detected documents for which notification or delivery are performed (Arregui, abstract and page 4, paragraphs 22 and 24); and

(b) using the monitored events and attributes to identify ones of the detected documents as highly rated documents for notification to users not originally subscribed to the subject for which the notification or delivery is performed (Arregui, page 4, paragraph 22).

With respect to **claim 7**, Arregui teaches the document management system according to claim 1, wherein the DNDS further comprises:

a plurality of document repositories with each being adapted to store a plurality of documents (Arregui, fig. 1 and page 3, paragraph 17, noted the document repositories);

a subject directory for representing subjects of the plurality of documents in the plurality of document repositories (Arregui, fig. 1, and page 3, paragraph 17, noted the subject directory 48);

a profile directory for representing a plurality of users accounts, with each user account subscribing to at least one subject (Arregui, fig. 1, and page 3, paragraph 19, noted the profile directory 18);

a subject refinement module for (Arregui, fig. 1, and page 3, paragraph 19):

monitoring document notifications and delivery requests associated with the document notifications to provide subject refinement data; and using the subject refinement data to refine subjects in the subject directory (Arregui, page 3, paragraphs 13-14 and 19, noted that user can refine the subjects via interface 15).

With respect to **claim 8**, Arregui teaches the document management system according to claim 1, wherein the DNDs further comprises:

a plurality of document repositories with each being adapted to store a plurality of documents (Arregui, fig. 1 and page 3, paragraph 17, noted the document repositories);

a subject directory for representing subjects of the plurality of documents in the plurality of document repositories (Arregui, fig. 1, and page 3, paragraph 17, noted the subject directory 48);

a profile refinement module (Arregui, fig. 1, and page 3, paragraph 19) for:



monitoring frequency of user delivery requests for document notifications concerning each subscribed subject to provide profile refinement data (Arregui, page 3, paragraphs 13-14 and 19); and

using the profile refinement data to refine user preferences for document notification and delivery (Arregui, pages 3-4, paragraphs 19-20, noted that user can change the profile via interface 15 and notification method).

With respect to **claim 9**, Arregui teaches the document management system according to claim 1, wherein the DNDs further comprises a failure recovery module for: recording component failure information (Arregui, page 8, paragraph 50, table 2); assigning each of the document repositories according to one of a plurality of operating behaviors using the component failure information (Arregui, page 50, paragraph 50); and

determining appropriate action to take in response to component identified failures using the operating behavior assigned to the document repository to which the component is associated (Arregui, page 8, paragraph 50, noted the automatic document transformations before delivering the document).

In regard to **claims 10-18**, the limitations of these claims are substantially the same as those in claims 1-9, but rather in method form. Therefore the same rationale for rejecting claims 1-8 is used to reject claims 10-18. By this rationale **claims 10-18** are rejected.

In regard to **claims 19-20**, the limitations of these claims are substantially the same as those in claims 1-2, but rather in method form. Therefore the same rationale

Art Unit: 2145

for rejecting claims 1-2 is used to reject claims 19-20. By this rationale **claims 19-20** are rejected.

### ***Conclusion***

17. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

- Spector et al. (Publication no.: US 2005/0060382 A1) discloses an on-demand electronic documents processing and sharing system.
- Carpenter et al. (Patent no.: US 7,099,872 B2) discloses a method for providing access to online employment information.
- Cotter (Publication no.: US 2004/0107112 A1) discloses an employment center with web processing.
- Joao (publication no.: US 2004/0107192 A1) discloses a method for providing job searching services recruitment services.

18. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Lin Liu whose telephone number is (571) 270-1447.


The examiner can normally be reached on Monday - Friday, 7:30am - 5:00pm, EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jason Cardone can be reached on (571) 272-3933. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2145

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

L. Liu  
08/30/2007

  
JASON CARDONE  
SUPERVISORY PATENT EXAMINER